



CALTRANS IFMS E-FIS PROJECT
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IFMS E-FIS PROJECT

Project Charter

Date: October 15, 2009
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REVISION HISTORY

Version Number	Date	Author	Comments
1.0	8/10/2006	Scott Sanders	
1.1	04/28/2008	MarSue Klepic and Maureen Rielley	Added Project Priorities, updated Budget, Performance Measures and Assumptions to be consistent with the FSR and SPR
1.2	04/29/2008	MarSue Klepic and Maureen Rielley	Included additional Assumptions and Stakeholders
1.3	05/01/2008	MarSue Klepic and Maureen Rielley	Included Advisory Committee in Project Sponsor and Governance
1.4	05/05/2008	MarSue Klepic	Revised Project Sponsor and Governance section
2.0	05/21/2008	MarSue Klepic	Final Version – Updated based on comments from Charter review process.
2.1	8/11/2008	MarSue Klepic	Updated new project governance, Section 7 and new organizational chart, Appendix A
3.0	8/20/2008	MarSue Klepic	Final Version – Updated based on comments from Charter review process.
3.1	12/2/2008	MarSue Klepic	Included DES and Maintenance in Advisory Board of Governance section and updated the E-FIS Team Org Chart.
4.0	12/15/2008	MarSue Klepic	Final Version – Updated based on comments from Charter review process.
5.0	10/15/2009	Maureen Rielley	Updated Project Sponsor, Governance Section, E-FIS Project Organization Chart, Section 11 - O-Tech; minor grammatical edits

REFERENCES

Document	Comments
Caltrans Integrated Financial Management System (IFMS) Feasibility Study Report September 22, 2005	
Caltrans Special Project Report January 11, 2008	
Office of the State Chief Financial Officer Project 2660-416 Approval April 1, 2008	

1 PROJECT TITLE

Enterprise Resource Planning – Financial InfraStructure (E-FIS) is project alpha of the Integrated Financial Management System (IFMS).

2 BACKGROUND

Changes in business needs over the past 20 years have placed Caltrans at a crossroads in terms of its financial management processes and supporting systems. Aging technology, an increasing number and complexity of funding sources, and changes in legislation have collectively raised the demands on Caltrans and accentuated problems with the current method of executing financial management functions. More importantly, the lack of management data available to Caltrans often results in decision making that is based on untimely, incomplete and anecdotal information. The increasing need for financial reporting to transportation partners and stakeholders has elevated the need for a state of the art integrated financial system.

To address this need, Caltrans conducted a comprehensive study, the Caltrans Integration Study. A major recommendation of the Integration Study was the Integrated Financial Management System (IFMS) Strategic Plan, which was intended to act as a roadmap for implementing IFMS. The IFMS strategic plan includes the implementation of the larger financial management conceptual architecture through a series of projects, paralleled and sequenced according to project priorities and dependencies. The financial functions and data provided by IFMS will provide a framework and platform for common financial process and requirements across Caltrans. E-FIS is the foundation for the overall IFMS project.

3 PROBLEM STATEMENT

Six primary business problems have been identified:

- Inability to track financial performance outcomes/measures
- Limited visibility into costs and impacts
- Limited capability to ensure accountability for federal and state funds
- Inefficient financial system business processes
- High financial management IT infrastructure costs
- Inability to access timely financial information

4 PRODUCT SCOPE

E-FIS focuses on core financial management, integration, and reporting functionality. E-FIS includes the development of core functionality – General Ledger (G/L), Accounts Receivable (A/R), Accounts Payable (A/P), budget monitoring, and procurement document control, which will be accessed and utilized by each of the subsequent IFMS projects. E-FIS will also provide essential fiscal information to support Caltrans project managers in effectively delivering transportation projects.

5 BUSINESS OBJECTIVES

The primary business objectives for E-FIS are as follows:

- Enable Caltrans to make the best resource investment decisions
- Enable Caltrans to manage the cost of doing business
- Establish efficient financial management processes
- Support Caltrans' financial reporting requirements
- Achieve financial management and tracking capabilities
- Provide a seamless, streamlined interface with Caltrans' systems
- Enable Caltrans to realize major efficiency and data accuracy gains

6 PERFORMANCE MEASUREMENT

The following performance measurements have been identified:

- Decommission of Transportation Accounting Management System (TRAMS) and 69 subsystems
- Reduce the average time period for development of monthly management reports by 66%
- Reduce interest penalties on late payments by 60%
- PY savings in the amount of 36
- Utilize improved financial information as a formal input into project prioritization activities within one year following system acceptance
- Capture, monitor and report transportation system costs at the level of detail necessary for funding requirements within one year after system acceptance

7 PROJECT SPONSOR and GOVERNANCE

The Project Sponsor is Norma Ortega, Caltrans Chief Financial Officer. Clark Paulsen is the Project Director. The E-FIS Business Project Manager is Kathy Booher, and the E-FIS Technical Project Manager is Ardeana Ota.

The Executive Steering Committee is comprised of key stakeholders across the Department including the Chief Deputy Director, Chief Information Officer, Chief Financial Officer, and Chief Engineer. The Executive Steering Committee has the overall responsibility for establishing the strategic direction of the project and providing Department-level project oversight and guidance. Specifically, the committee builds, exhibits, and maintains Department-wide support for the project; makes high level policy decisions; functions as the project's Change Control Board; and resolves policy or project issues which cannot be resolved by the project team, Advisory Board, or Advisory Committee. The Executive Steering Committee meets quarterly in a joint meeting with other key stakeholders involved in several projects; E-FIS, PRSM, CMS and RDS. Kari Gutierrez is the lead facilitator, ensuring continuity and communication between the projects.

The Advisory Board is comprised of key stakeholders across the E-FIS projects, including executive managers from Project Management, Enterprise Technology Investment Division, Local Assistance, Equipment, Construction, IT Solutions, Procurement and Contracts, Budgets, Division of Engineering Services, and Maintenance. Specifically, the Advisory Board provides input on critical operational issues from stakeholder Divisions; reviews and validates key decisions and recommendations; provides input on proposed project scope, schedule, and budget changes; removes obstacles and expedites information gathering from operational areas; champions and promotes operational level "buy-in"; and resolves strategic, policy, operational, and other issues which cannot be resolved by the Advisory Committee.

The Advisory Committee is comprised of managers from the core user groups of Accounting, Procurement and Contracts, and Budgets. The Advisory Committee makes decisions on detail project operational issues; reviews and provides input on key vendor deliverables which may impact the Department at an operational level; provides input on proposed changes to the project scope, schedule, or budget; and resolves other issues elevated to the Advisory Committee by the project team.

8 PROJECT PRIORITIES

The project priorities for the IFMS/E-FIS project are illustrated in the table below. The project has three components that must be managed: schedule, scope, and resources. The project schedule is *accepted* in that it can be adjusted if necessary. The project schedule may be slightly adjusted to accommodate and ensure the planned timing of the project is realized. The project scope is *constrained* as the success and functionality are directly dependent on the successful implementation of the IFMS/E-FIS project. Finally, resources are *improved*, meaning that additional resources may be added to the project depending on the circumstances and requirements of the project.

• Schedule	• Scope	• Resources
• Accepted	• Constrained	• Improved

- Accepted means the factor is somewhat flexible to the project circumstance
- Constrained means the factor cannot be changed
- Improved means that the factor can be adjusted

9 ASSUMPTIONS

- Funding for the project will be available
- Redirected Accounting, Information Technology, Budgets, and Procurement and Contracts staff will be available throughout the project
- Business areas will provide subject matter experts
- There will be timely review and feedback on all project deliverables by reviewers
- Problem/issue resolution will be handled on a timely basis
- Proactive risk management

10 BUDGET

The following budget was approved by the Office of the State Chief Information Officer in its letter dated April 1, 2008, Project No. 2660-416:

Approved Project Cost, Schedule, and Criticality Rating			
Project Cost	One-Time	Continuing	Total
	\$29,300,868	\$11,102,651	\$40,403,519
			Funding Source
			State Transportation Account
Project Schedule	Start Date	Implementation Date	PIER Date
	1/11/2006	04/01/2010	05/01/2011
Oversight Criticality Rating : High			

11 STAKEHOLDERS

The following project stakeholders have been identified:

- Caltrans Executive Management
- Caltrans Functional Management
- Caltrans Business Areas
- Office of the State Chief Information Officer (OCIO)
- Federal Highway Administration (FHWA)
- Legislature/Department of Finance (DOF)
- Department of General Services (DGS)
- Office of Technology Services (OTech)
- State Controllers Office (SCO)
- Local and Regional Transportation Partners
- Vendors that do business with Caltrans

APPENDIX A:
E-FIS PROJECT ORGANIZATION CHART

Project Organization

The organizational structure for the IFMS/E-FIS Project is illustrated below.

E-FIS PROJECT ORGANIZATION CHART

